UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	Harvatek-9030
First Inventor or Application Identifier	Bily WANG
Title	LED Focusing Cup in a Stacked Substrate
Express Mail Label No.	

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. **X** • Fee Transmittal Form *(e.g., PTO/SB/17)*
   (Submit an original and a duplicate for fee processing)

2. **X** Specification [Total Pages **6**]
   (preferred arrangement set forth below)
   - Descriptive title of the Invention
   - Cross References to Related Applications
   - Statement Regarding Fed sponsored R & D
   - Reference to Microfiche Appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings *(if filed)*
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure

3. **X** Drawing(s) *(35 U.S.C. 113)* [Total Sheets **13**]

4. Oath or Declaration [Total Pages **2**]
   a. **X** Newly executed (original or copy)
   b. ___ Copy from a prior application (37 C.F.R. § 1.63(d))
      (for continuation/divisional with Box 16 completed)
      i. ___ DELETION OF INVENTOR(S)
         Signed statement attached deleting inventor(s) named in the prior application. see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

5. ___ Microfiche Computer Program *(Appendix)*

6. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
   a. ___ Computer Readable Copy
   b. ___ Paper Copy (identical to computer copy)
   c. ___ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. **X** Assignment Papers (cover sheet & document(s))
8. **X** 37 C.F.R. § 3.73(b) Statement — **X** Power of *(when there is an assignee)* Attorney
9. ___ English Translation Document *(if applicable)*
10. ___ Information Disclosure Statement (IDS)/PTO-1449 — ___ Copies of IDS ___ Citations
11. ___ Preliminary Amendment
12. **X** Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
13. **X** • Small Entity Statement(s) (PTO/SB/09-12) — ___ Statement filed in prior application, Status still proper and desired
14. ___ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
15. ___ Other: ....
....
....

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

   ___ Continuation ___ Divisional ___ Continuation-in-part (CIP) of prior application No: _____/_____

   Prior application information: · Examiner _____ Group / Art Unit: _____

For **CONTINUATION or DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

___ Customer Number or Bar Code Label
(Insert Customer No. or Attach bar code label here)

or **X** Correspondence address below

Name	Hung Chang LIN
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Name (Print/Type) Hung Chang LIN	*Registration No. (Attorney/Agent)* 28,789
Signature Hung Chang Lin	*Date* Aug. 2, 2001

0002/PTO Rev. 10/96	U.S. Department of Commerce Patent and Trademark Office	Complete if Known	
		Application Number	
FEE TRANSMITTAL		Filing Date	
		First Named Inventor	Bily WANG
		Group Art Unit	
		Examiner Name	
TOTAL AMOUNT OF PAYMENT	($) 395.00	Attorney Docket Number	Harvatek 9030

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

2. ☒ Payment Enclosed:
☒ Check   ☐ Money Order   ☐ Other

FEE CALCULATION (fees effective 10/01/95)

1. FILING FEE

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
101	750	201	375	Utility filing fee	355
106	310	206	155	Design filing fee	
107	510	207	255	Plant filing fee	
108	750	208	375	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) ($) 355

2. CLAIMS

		Extra		Fee from below		Fee Paid
Total Claims		-20 =		X	=	
Independent Claims		- 3 =		X	=	
Multiple Dependent Claims				X	=	

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description
103	22	203	11	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	250	204	125	Multiple dependent claim
109	78	209	39	Reissue independent claims over original patent
110	22	210	11	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,390	147	2,390	For filing a request for reexamination	
112	870*	112	870*	Requesting publication of SIR prior to Examiner action	
113	1,740*	113	1,740*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	380	216	190	Extension for response within second month	
117	900	217	450	Extension for response within third month	
118	1,400	218	700	Extension for response within fourth month	
119	290	219	145	Notice of Appeal	
120	290	220	145	Filing a brief in support of an appeal	
121	250	221	125	Request for oral hearing	
138	1,430	138	1,430	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,250	241	625	Petition to revive unintentionally abandoned application	
142	1,250	242	625	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	630	244	315	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	220	126	220	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	750	246	375	Filing a submission after final rejection (37 CFR 1.129(a))	
149	750	249	375	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) ($) 40

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

	Complete if applicable		
Typed or Printed Name	Hung Chang LIN	Reg. Number	28,789
Signature	*Hung Chang Lin* Date 8/2/01	Deposit Account User ID	